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DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

OR

☑Declaration Submitted With Initial Filing Declaration
Submitted after Initial
Filing (surcharge
(37 CFR 1.16 (e))
required)

Attorney Docket Nun	nber	36287-03801		
First Named Inventor	•	SPIELER et al.		
CC	MPL	ETE IF KNOWN	_	
Application Number	10/644,281			
Filing Date	August 20, 2003			
Group Art Unit	362	4		
Examiner Name	ТВА	\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \		

As a below named inve	entor, I hereby declare the	at:						
My residence, post office address, and citizenship are as stated below next to my name.								
I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:								
SYSTEM AND METHOD FOR MANAGER ENHANCED RETURN ON COLLATERALIZED DEBT OBLIGATION TRANSACTIONS								
	(Title of th	e Invention)						
the specification of which								
is attached hereto								
OR								
was filed on (MM/DD	7777)	as United States App	plication Number o	PCT Internation	onal			
Application Number	and	was amended on (MM/DD/Y)	(YY)		(if applicable).			
I hereby state that I have revie any amendment specifically re	wed and understand the conte ferred to above.	nts of the above identified spe	ecification, including	g the claims as	amended by			
applications, material informati	lose information which is mater ion which became available be continuation-in-part application.	tween the filing date of the pri	in 37 CFR 1.56, in ior application and	cluding for cont the national or	inuation-in-part PCT			
breeder's rights certificate(s), States of America, listed below	I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 385(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or of any PCT international application having a filing date before that of the application on which priority is							
Prior Foreign Application		Foreign Filing Date	Priority	Certified Co	py Attached?			
Number(s)	Country	(MM/DD/YYYY) Country	Not Claimed	YES	NO			
Additional familia continu	ion numbers are listed as a sec	nalamantal adapitu data shaat	DTO/SR/02B atta	shed hereto:				

[Page 1 of 3]

The collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

NY2:#4517822

DECLARATION — Utility or Design Patent Application

Direct all correspondence to: Customer Number or Bar Code Labe		_	271	171		Ol	₹ [Correspondence address below	
	Chris L. Holm								
Name	Milbank, Tweed	l, Hadley & McClo	y LLP						
Address	1 Chase Manha	ittan Plaza							
City	New York		State	NY				ZIP	10005-1413
Country	USA			Telepho	ne	(212)	530-5	000	Fax (212) 530-5219
believed to be punishable by	true; and further that t	hese statements were or both, under 18 U.S.	made wit	h the knowle	edge	that will	ful false	statem	e on information and belief are lents and the like so made are y jeopardize the validity of the
NAME OF	SOLE OR FIRST	INVENTOR:	A	petition h	nas	been f	iled fo	r this	unsigned inventor
Given Name (first and mi	Cliddle [if any])	hristian				ly Nam irname	-	PIELI	ER
Inventor's Signature	Um S						Date	40	h November 2003
Residence:	city FRAMI	FUET	H£SS State	EN		GEA Count	2MAI	vy	GERNAN Citizenship
Mailing Add	ress BRIA	4NO RIN	'ና	26					
City FR.	ANKFURT	•	HES State	S.EN		60 S Zip	798	7	GERMANY Country
NAME OF	SECOND INVEN	TOR: Ap	etition l	nas been	filed	for th	is uns	igned	inventor
Given Name (first and mi	Joddle [if any])	onathan				ly Nam		SLA	TER
Inventor's Signature				·			Date		
Residence:	City		State			Coun	try		Citizenship
Mailing Add	ress								
 									
City			State		ł	Zip		}	Country

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DECLARATION — Utility or Design Patent Application Direct all correspondence to: Customer Number 27171 OR Correspondence address below or Bar Code Label Chris L. Holm Milbank, Tweed, Hadley & McCloy LLP Name 1 Chase Manhattan Plaza Address 10005-1413 City New York State NY ZIP Telephone (212) 530-5000 Country USA Fax (212) 530-5219 I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. NAME OF SOLE OR FIRST INVENTOR: A petition has been filed for this unsigned inventor Family Name **SPIELER** Christian Given Name or Surname (first and middle [if any]) Inventor's Date Signature Country Citizenship Residence: City State **Mailing Address** City State Zip Country NAME OF SECOND INVENTOR: A petition has been filed for this unsigned inventor SLATER Jonathan **Family Name** Given Name (first and middle [if any]) or Surname Inventor's Date 4 MULMBER 2003 Signature BRITISH ENGUANO -0000 N Country Citizenship Residence: City State 17 ANHALT RP. **Mailing Address** ENGLAND SW114N2 LOWON City State Country

[Page 2 of 3]

NAME OF THIRD INVENTOR: A P	etition has be	en filed	d for th	is unsigne	d inventor	
Given Name Brigitta (first and middle [if any])			Family Name WALISCH			
Inventor's Signature				Date		
Residence: City	State		Coun	try	Citizenship	
Mailing Address						
manning Address		T				
City	State		Zip		Country	
NAME OF FOURTH INVENTOR: A p	etition has be	en filed	d for th	is unsigne	d inventor	
Given Name Jonathan (first and middle [if any])			ly Nam ırname		AMS	
Inventor's Signature	Kerceke Tilkes		larti. E	Date /	(13/04	
4,			USA		US	
Residence: City	State	l	Count	try	Citizenship	
Mailing Address				****		
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[Page 3 of 3]

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Application Number	10/644,281			
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Examiner Name	ТВА			

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	(Title of the	e Invention)						
the specification of which		•						
is attached hereto								
OR .		·						
was filed on (MM/DD/	YYYY)	as United States App	olication Number or	PCT International				
Application Number	and	 was amended on (MM/DD/YY	YY)	(if	applicable).			
I hereby state that I have revie any amendment specifically re	wed and understand the conte ferred to above.	nts of the above identified spe	ecification, including	g the claims as am	ended by			
I acknowledge the duty to disci applications, material informati international filing date of the o	on which became available be	tween the filing date of the pri	in 37 CFR 1.56, inc or application and	cluding for continua the national or PCT	ation-in-part T			
breeder's rights certificate(s),	International filing date of the continuation-in-part application. I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or of any PCT international application having a filing date before that of the application on which priority is							
Prior Foreign Application		Foreign Filing Date	Priority	Certified Copy	Attached?			
Number(s)	Country	(MM/DD/YYYY) Country	Not Claimed	YES	NO			
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Additional foreign applicat	tion numbers are listed on a su	pplemental priority data shee	t PTO/SB/02B atta	ched hereto:				

[Page 1 of 3]

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DECLARATION — Utility or Design Patent Application

Direct all corn	Direct all correspondence to: Customer Number or Bar Code Label			2	27171		OF	₹ 🗵	Correspondence address below
	Chris L. Holm								
Name	Milbank, Tweed	, Hadley & McClo	y LLP						
Address	1 Chase Manha	ttan Plaza							
City	New York		State	NY				ZIP	10005-1413
							.		
Country	USA			Teleph		(212)			Fax (212) 530-5219
believed to be punishable by	true: and further that t	these statements were or both, under 18 U.S.	made wit	th the kno	wledae	that will	ui taise	e stateme	on information and belief are ents and the like so made are r jeopardize the validity of the
NAME OF	SOLE OR FIRST	INVENTOR:	A	, petition	n has	been fi	led fo	or this u	unsigned inventor
Given Name		hristian				ily Nam urname		PIELE	ER .
Inventor's Signature	(Date)	
Residence:	City		State			Count	ry		Citizenship
Mailing Ado	iress								
City			State	!		Zip			Country
	SECOND INVEN	ITOP: \	netition	has he	en file	d for th	is un	signed	inventor
NAME OF	SECOND INVEN	110A. A	poudon	1140 00	J., me		411		
Given Nam (first and m	e niddle [if any])	Jonathan				ily Nam Jurname		SLA	ATER -
Inventor's Signature						·	Date	e	
								1	
Residence:	: City		State			Coun	try		Citizenship
Mailing Ado									
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City			State	9		Zip			Country

,								
NAME OF THIRD INVENTOR:	A petition	has been file	d for th	is unsigne	d inventor			
Given Name Brigitta (first and middle [if any])			Family Name WALISCH or Surname					
Inventor's Signature				Date	10-11-03			
Residence: City	State	uk	Count	Uk	German Citizenship			
Mailing Address 33 Savile Tow								
city london	State		Zip	WIS 3PZ	Country UK			
*								
NAME OF FOURTH INVENTOR:	A petition	has been file	ed for th	is unsigne	d inventor			
Given Name Jonathan (first and middle [if any])			nily Nam Surname		DAMS			
Inventor's Signature				Date				
			ÜSA		US			
Residence: City	State	<u> </u>	Coun	try	Citizenship			
Mailing Address					•			
Mailing Address			(3)	 -	USA			
City	State	9	Zip		Country			

[Page 3 of 3]

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August 20, 2003
SPIELER, et al.
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I hereby appoint:						
Practitioners at C	ustomer Numb	er 27171				
or. ☑ Practitioner(s) na	med below:					
Name		Registration Number		Name		Registration Number
Christopher E. Cha	ılsen	30,936		Claire A. Gilmartin		51,735
Robert J. Koch		26,637		Jay I. Alexander		32,678
Michael M. Murr	ay	32,537		Robert W. Busby, Jr.		40,930
Errol B. Taylor		39,853		John J. Yim		47,197
Frederick M. Zull	ow	32,452		Einar Stole		47,272
John M. Griem		40,005		Christopher M. Guest		48,515
Lawrence T. Ka	ss	40,671		Jennifer L. Overty		51,197
James R. Klaibe	∋ r	41,902		Lisa Coward		44,091
Chris L. Holm		39,227	К	imberly N. Van Voorhi	8	48,009
Christopher J. Gas	spar	41,030		Marc D. Peters		46,988
Frank A. Bruno	,	46,583				
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First Named Inve	entor SPIELER, et al.	
Group Art Unit	3624	
Examiner Name	TBA	
Attomey Docket N	Number 36287-03801	
	•	

I hereby appoint:								
Practitioners at Co	ustomer l	Number 27171						
☑ Practitioner(s) nar	ned belo							
Name	Name Registration Number			Name		Registration Number		
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Michael M. Murra	el M. Murray 32,537			Robert W. Busby, Jr.		40,930		
Errol B. Taylor	3. Taylor 39,853			John J. Yim		47,197		
Frederick M. Zullo	Frederick M. Zullow			Einar Stole		47,272		
John M. Griem		40,005	1	Christopher M. Guest		48,515		
Lawrence T. Kas	S	40,671		Jennifer L. Overty		51,197		
James R. Klaibe	r	41,902		Lisa Coward		44,091		
Chris L. Holm		39,227	к	imberly N. Van Voorhis	,	48,009		
Christopher J. Gasj	oar	41,030		Marc D. Peters		46,988		
Frank A. Bruno		46,583						
OR Firm or Individual Name	Firm or Individual Name Milbank, Tweed Hadley & McCloy LLP							
Address	1 Chase Mahattan Plaza							
City				NY	ZIP	10005-1314		
	New York			III	211	10003-1314		
ountry	United			(040) 500 5040				
elephone	(212) 5	530-5000	Fax	(212) 530-5219	·····			
		re interest. See 37 CFR 3.71. 8(b) is enclosed. (Form PTO/SB/96).						
		SIGNATURE of Applica	int or As	signee of Record				
Name Jonathai	n Slater							
Signature	1.17	Shilin						
Date	4MUGM362 2003							
	inventors	or assignees of record of the entire	interest	or their representative	(s) are r	equired. Submit multiple forms if		
ore than one signature is	tequired,	aco uciów .						

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PADEMARK Stoder the Paperwork Reduction Act of 1995, no persons an	a required to respond to a collection of information unless it displays a valid OMB control number.

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10/644,281 **Application Number** August 20, 2003 Filing Date SPIELER, et al. First Named Inventor 3624 **Group Art Unit** TBA **Examiner Name**

3 / LK9551 5

			Attorney D	ocket N	umber	36287-03	3801	
I hereby appoint:								
☐ Practitioners a		Number 271	71					
OR Margitianor(s)	named bala	Na.						
☑ Practitioner(s) named below Name		Registration	Number	Т	Name	T	Registration Number	er
Christopher E.		30,936		+	Claire A. Gilmartin		51,735	
Robert J. K		26,637		<u> </u>	Jay I. Alexander		32,678	
Michael M. Murray		32,537			Robert W. Busby, Jr.		40,930	
Errol B. Ta	ylor	39,853			John J. Yim		47,197	
Frederick M.	Zullow	32,45	2		Einar Stole		47,272	
John M. G	riem	40,005			Christopher M. Guest		48,515	
Transparence T.	Kass ·	40,67	1	<u> </u>	Jennifer L. Ovérty		51,197	
James R. K	laiber	41,90	2		Lisa Coward		44,091	
Chris L. H	olm	39,22	7	К	Kimberty N. Van Voorhis		48,009	:
Christopher J.	Gaspar	41,03	41,030		Marc D. Peters		46,988	1 10,0
Frank A. Bruno		46,58	46,583				<u> </u>	ran)
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☐ Firm or Individual Na	k McCloy LL	P						
Address								
Address 1 Chase Mahattan Plaza								
City New York			State	NY	ZIP	10005-1314		
Country United States								
Telephone (212) 530-5000				Fax	(212) 530-52	219		
	cord of the ent	ire interest. See 37 C						
			JRE of Applic		signee of Reco	ord		
Name Jon	athan Adam					 	***	
Signature \(\frac{1}{2}\)	D	_		-				
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NOTE: Signatures of	all the invento	s or assignees of reco	ord of the entir	re interes	or their represe	entative(s) are	required. Submit multiple	forms if
more than one signatu		see below.						

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	AUTHORIZATION OF AGENT						
			Examiner Name		TBA		
			Attorney Doo	ket Number	36287-0	3801	_
	I hereby appoint:	Number 27	171				
	☐ Practitioners at Customer lock ☐ Practitioner(s) named belo						
	Name	Registration	Number	Name		Registration Number	
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John M. Griem		40,005		Christopher M. Guest		48,515		
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James R. Klaiber		41,902		Lisa Coward		44,091		
Chris L. Holm		39,227		Kimberly N. Van Voorhis		48,009		
Christopher J. Gaspar		41,030		Marc D. Peters		46,988		
Frank A. Bruno		46,583					İ	
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OR ☐ Firm or Individual Name Milbank, Tweed Hadley & McCloy LLP								
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New Y	New York			NY	ZIP	10005-1314		
United	States							
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	SIGNAT	URE of Applic	ant or A	ssignee of Record				
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	or agent(nected the correspondioned Custociated with Milban New Y United (212) \$	as 40,67 ar 41,90 39,22 apar 41,03 ar 46,58 or agent(s) to prosecute the nected therewith. correspondence address for ioned Customer Number. ociated with Customer Num Milbank, Tweed Hadley at 1 Chase Mahattan Plaza New York United States (212) 530-5000 at of the entire interest. See 37 or 77 CFR 3.73(b) is enclosed. (For SIGNAT)	40,671 41,902 39,227 41,030 46,583 or agent(s) to prosecute the application nected therewith. correspondence address for the above-idenced Customer Number. ociated with Customer Number: Milbank, Tweed Hadley & McCloy LL 1 Chase Mahattan Plaza New York United States (212) 530-5000 of the entire interest. See 37 CFR 3.71. 67 CFR 3.73(b) is enclosed. (Form PTO/SB/96) SIGNATURE of Application supplies the second se	40,671 41,902 39,227 Kingar 41,030 46,583 or agent(s) to prosecute the application identified innected therewith. correspondence address for the above-identified inned Customer Number. ociated with Customer Number: Milbank, Tweed Hadley & McCloy LLP 1 Chase Mahattan Plaza New York United States (212) 530-5000 Fax Fax For CFR 3.73(b) is enclosed. (Form PTO/SB/96). SIGNATURE of Applicant or Activations Walisch	Jennifer L. Overly 41,902 Lisa Coward 39,227 Kimberly N. Van Voorhis 39,227 Kimberly N. Van Voorhis Marc D. Peters or agent(s) to prosecute the application identified above, and to transpected therewith. correspondence address for the above-identified application to: ioned Customer Number. ociated with Customer Number: Milbank, Tweed Hadley & McCloy LLP 1 Chase Mahattan Plaza New York United States (212) 530-5000 Fax (212) 530-5219 of the entire interest. See 37 CFR 3.71. AT CFR 3.73(b) is enclosed. (Form PTO/SB/96). SIGNATURE of Applicant or Assignee of Record	Authority State NY ZIP The series of the entire interest. See 37 CFR 3.71. Signature of Applicant or Assignee of Record To walisch To	Authority States 40,671 Jennifer L. Overly 51,197 Lisa Coward 44,091 39,227 Kimberly N. Van Voorhis 48,009 46,583 Or agent(s) to prosecute the application identified above, and to transact all business in the Patent and nected therewith. Correspondence address for the above-identified application to: Correspondence address for the above-ident	

Robert W. Busby, Jr.

John J. Yim

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This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

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☑ *Total of 4 forms are submitted.

Robert J. Koch

Michael M. Murray

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